

**RULES  
OF  
THE DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION**

**CHAPTER 0690—5—1  
THE FORMS MANAGEMENT PROGRAM**

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**0690—5—1—.01 STATUTORY AUTHORITY.** The Forms Management Program is governed by the “Paperwork Reduction and Simplification Act of 1976”.

*Authority:* T.C.A. Section 4—2504. *Administrative History:* Original rule filed January 30, 1979, effective March 14, 1979.

**0690—5—1—.02 PURPOSE.**

- (1) The purpose of the Rules of the Forms Management Program is to provide complete details and instructions for forms approval process and the responsibilities of all agencies for forms management.
- (2) The purpose of the forms management program is to control the vast amount of forms which are presently being used in State Government.

*Authority:* T.C.A. Section 4—2504. *Administrative History:* Original rule filed January 30, 1979, effective March 14, 1979.

**0690—5—1—.03 SCOPE.** These rules shall apply to all agencies of the government of the State of Tennessee as stated in the “Paperwork Reduction and Simplification Act of 1976”.

*Authority:* T.C.A. Section 4—2504. *Administrative History:* Original rule filed January 30, 1979, effective March 14, 1979.

**0690—5—1—.04 DEFINITIONS.** The following definitions are applicable to the Forms Management Program.

- (1) Agency —Any administrative unit within state government which utilizes one or more printed forms for information reporting by citizens or businesses.
- (2) Forms Management Officer—The individual appointed by the agency head to administer the Forms Management Program within the agency.
- (3) Form—A printed or otherwise mass-duplicated document of standard format distributed by an agency for the purpose of gathering information from citizens or businesses.

*Authority:* T.C.A. Section 4—2504. *Administrative History:* Original rule filed January 30, 1979, effective March 14, 1979.

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### **0690—5—1—.05 RESPONSIBILITIES.**

- (1) The Commissioner of General Services shall be responsible for establishing and implementing the Forms Management Program within the Department of General Services which shall apply to every state agency. The Director of the Records Management Division will serve as staff officer for the Commissioner on forms management matters.
- (2) The Director of the Records Management Division shall:
  - (a) Direct the state forms management program, using management techniques for standardization and simplification of all state forms.
  - (b) Review all requests for forms determined to be essential by state agencies and recommended for approval.
  - (c) Assign a number to each form determined to be properly authorized, required, and used.
  - (d) Establish basic state design and specification criteria for the standardization of all forms to which numbers are assigned.
  - (e) Design and require the use of composite forms by agencies seeking and requiring the same or similar information from inside or outside state government.
  - (f) Deny the use by any agency of a form to obtain information which can be obtained from another agency already gathering the information.
  - (g) Provide assistance to all agencies in determining the need for and design of new forms.
  - (h) Coordinate the program with other agencies concerned with the procurement, printing, management and disposition of forms.
  - (i) Provide training on a periodic basis for all forms management officers in the area of forms management.
- (3) The head of each agency shall:
  - (a) Establish and maintain an active Forms Management Program within his agency.
  - (b) Appoint a forms management officer for his agency and notify the Director of the Records Management Division of changes as they occur.
  - (c) Submit semi-annual reports on the agency Forms Management Program to the Director of the Records Management Division.
- (4) The Forms Management Officer shall:
  - (a) Participate in and direct the forms management program of the agency.
  - (b) Review all requests for approval of new or revised forms to determine if the forms are essential.
  - (c) Assist originators of forms in designing forms and developing procedures which require the forms.
  - (d) When required, design forms and prepare copy for printing or duplicating.

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(Rule 0690—5—1—.05, continued)

- (e) Maintain forms control files on all forms in their agency. As a minimum, these will consists of a numerical and functional file of all agency forms and a forms control register, containing the form number, form title, initiating office, type of action (new or revised), date received, and date of clearance.
- (f) Provide training for all forms personnel.

**Authority:** T.C.A. Section 4—2504. **Administrative History:** Original rule filed January 30, 1979, effective March 14, 1979.

**0690—5—1—.06 ABOLISHMENT AND REISSUE OF STATE FORMS.** In accordance with the requirements of Executive Orders 45 and 54, the following applies to all forms being utilized by State Government. Due to economic considerations, the abolished forms will not be disposed of until the supply for a specific form is depleted. When this event occurs, the new State Form Number will be used on the form to be printed.

- (1) Abolishments—All forms in existence prior to June 30, 1978, and utilized by the various state departments and administrative bodies subject to the Governor's jurisdiction were abolished effective June 30, 1978.
- (2) Reissue—The following is the procedure for reissue of those forms in use prior to July 1, 1978, determined to have a valid purpose and to be in the interest of efficient government.
  - (a) Upon completion of the agency forms inventory, a report of the findings which includes an analysis and study of the forms, shall be submitted to the Director of the Records Management Division. This is a prerequisite prior to the reissuance of the agency's required forms.
  - (b) The agency in consultation with the Records Management Division shall submit recommendations for those forms to be reissued.
  - (c) Upon receipt of the agency's report and recommendations thereof, the Records Management Division shall submit a list of approved forms with new numbers which conform to the established State Form Numbering System to the agency Forms Management Officer.

**Authority:** T.C.A. Section 4—2504. **Administrative History:** Original rule filed January 30, 1979, effective March 14, 1979.

### **0690—5—1—.07 PROCEDURES FOR FORMS REVIEW AND APPROVAL AFTER JUNE 30, 1978.**

- (1) Development of Forms by Originating Office. When a new form is proposed or is being prepared, the originating office should review the form for justification, simplicity, conciseness, duplication, clarity, proper design, and economic considerations for printing and distribution.
- (2) Forms Justification and Approval Request.
  - (a) The Forms Justification and Approval Request will be used throughout state government to obtain approval of new or revised forms, whether such forms are to be printed by Central Printing, Department of General Services, by agency print shops, or by commercial printers.
  - (b) When requesting approval of a new or revised form, the originating office will forward to the agency Forms Management Officer:
    - 1. The original of the Forms Justification and Approval Request
    - 2. A draft of the proposed form.

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(Rule 0690—5—1—.07, continued)

- (3) Review and Analysis of Forms by Agency Forms Management Officers. All requests for approval of new or revised forms will be reviewed by the agency forms management officer to determine if such forms are required. This review should cover every aspect of the form. Forms control files should be searched when a new form is being reviewed to see if there is an existing form which can supply the required information or be adapted to supply the information.
  - (a) Review of New Forms. When a new form is proposed, the Forms Management Officer should review the form for justification requirement, purpose, format, text wording and sequence of items, correct title, method of completion and number of copies required.
  - (b) Review of Revised Forms. When a proposed revised form is received for review, the following actions will be taken:
    1. Check forms control files to see if there are any additional changes pending to the form. If so, the changes should be coordinated with all offices concerned. All approved changes should be included in the revision.
    2. Determine the disposition of the old form. If possible, the old form should be used until the supply is depleted. However, if the value of the benefits to be gained from using the revised form exceeds the savings to be gained from using the on-hand supply of the old form, the old forms may be destroyed.
    3. If there is a change in the format of the form, make sure the form is processed as a revision.
- (4) Forms Approval by the Records Management Division.
  - (a) Forms approved by the agency forms management officer will be submitted to the Director of the Records Management Division for review. All forms submitted for approval must be accompanied by the Forms Justification and Approval Request. This form will provide all of the required information about the proposed form.
  - (b) The Records Management Division will review the draft of the form and the Forms Justification and Approval Request. Forms approved will be assigned a form number and returned to the agency with the Forms Justification and Approval Request.
  - (c) Forms determined to be a duplication or non-essential will be returned to the agency with reasons for disapproval.

**Authority:** T.C.A. Section 4—2504. **Administrative History:** Original rule filed January 30, 1979, effective March 14, 1979.

### **0690—5—1—.08 NUMBERING OF FORMS.**

- (1) The Director of the Records Management Division assigns a number to each form determined to be properly authorized, required, and used.
- (2) The form number shall consist of a two (2) character alphabetic prefix followed by a four (4) digit number. (See Attachment A, Agency Codes).

Example: Form No. GS-0012.

GS is the prefix assigned to the Department of General Services. 0012 is the number assigned to the “Forms Justification and Approval Request” which originates in the Records Management Division of the

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(Rule 0690—5—1—.08, continued)

Department of General Services. The numbers shall follow in consecutive order, each agency starting with 0001.

*Authority: T.C.A. Section 4—2504. Administrative History: Original rule filed January 30, 1979, effective March 14, 1979.*

### **0690—5—1—.09 PRINTING OF FORMS.**

- (1) State Government Print shops.
  - (a) All state government print shops shall cooperate fully with the Director of the Records Management Division and the agency forms management officers in carrying out the purposes of the Paperwork Reduction and Simplification Act of 1976.
  - (b) No form shall be printed by any state government print shop unless the form has been reviewed in accordance with these rules, approved, and a form number assigned by the Records Management Division.
- (2) Purchasing Division, Department of General Services, and agency purchasing officers will:
  - (a) Assure that requisitions for procurement of forms have been reviewed by the agency forms management officer and the Records Management Division, the forms approved, and a form number assigned before issuance of the purchase order.
  - (b) Maintain close liaison with the agency forms management officer and the Director of the Records Management Division.

*Authority: T.C.A. Section 4—2504. Administrative History: Original rule filed January 30, 1979, effective March 14, 1979.*

### **0690—5—1—.10 REPORTING REQUIREMENTS.**

- (1) Each agency shall submit semi-annual reports on their forms management program to the Commissioner of General Services. These reports shall include up-to-date statistics on the progress of the agency to minimize paperwork within their area.

*Authority: T.C.A. Section 4—2504. Administrative History: Original rule filed January 30, 1979, effective March 14, 1979.*

### **0690—5—1—.11 APPEALS.**

- (1) Any form disapproved by the Director of the Records Management Division, Department of General Services, may be appealed to the Forms Reduction and Management Appeals Board by the chief executive of any agency dissatisfied with any decision or directive. Decisions of the board are final.
- (2) The Forms Reduction and Management Appeals Board is composed of the Governor, Speaker of the Senate, Speaker of the House of Representatives, Secretary of State, Attorney General, and Comptroller.
- (3) The Commissioner of General Services shall serve as the Secretary of the Board for purposes of scheduling hearings and maintaining minutes, but he will not serve as a member of the board or have any vote in the decisions.
- (4) Appeals shall be presented to the Director of the Records Management Division for processing and scheduling to the Appeals Board. A record shall be kept of all appeals, decisions, and implementation thereof.

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Attachment A  
Reference 0690—5—1—.08

## AGENCY CODES

<u>PREFIX</u>	<u>AGENCY</u>
AE	Aeronautics Commission
AG	Agriculture, Department of
AB	Alcoholic Beverage Commission
BK	Banking, Department of
LE	Board of Law Examiners
BR	Board of Regents
CY	Commission on Children and Youth
CT	Comptroller of the Treasury
CN	Conservation, Department of
CR	Corrections, Department of
EC	Economic and Community Development, Department of
ED	Education, Department of
ES	Employment Security, Department of
EB	Executive Branch
FA	Finance and Administration, Department of
FR	Fiscal Review Committee
GS	General Services, Department of
GO	Governor's Office
HF	Health Facilities
HO	Housing Development
HS	Human Services, Department of
IN	Insurance, Department of
LB	Labor, Department of
MH	Mental Health and Mental Retardation, Department of
ML	Military, Department of
PR	Personnel, Department of
PH	Public Health, Department of
PS	Public Service Commission
RV	Revenue, Department of
SF	Safety, Department of
SS	Secretary of State
UC	State University and Community College System of Tennessee
SW	Status of Women
AC	Tennessee Arts Commission
HD	Tennessee Commission for Human Development
CA	Tennessee Commission on Aging
HE	Tennessee Higher Education Commission
LA	Tennessee Law Enforcement Training Academy
MC	Tennessee Manpower Council
SA	Tennessee Student Assistance Corporation
WR	Tennessee Wildlife Resources
TD	Tourist Development, Department of
DT	Transportation, Department of
TR	Treasury
VA	Veterans Affairs, Department of

**Authority:** T.C.A. Section 4—2504. **Administrative History:** Original rule filed January 30, 1979, effective March 14, 1979.